

REMARKS

Claims 1 – 13, 15 – 19, 23, 34, and 45 are in the application. Claims 1 and 34 are currently amended; claims 5, 13, 23, and 45 were previously presented; claims 14, 20 – 22, 24 – 33, and 35 – 44 are canceled; and claims 2 – 4, 6 – 12, and 15 – 19 remain unchanged from the original versions thereof. Claim 1 is the independent claim herein.

No new matter has been added to the application as a result of the amendments submitted herewith. In particular, support for the amendment of claim 1 may be found in the Specification at FIG. 12 and paragraphs [0076] – [0077].

Claim Objections

Claim 33 was objected to under 37 CFR 1.75(c), as being of improper dependent form for failing to further limit the subject matter of a previous claim.

In reply thereto, claim 33 is canceled and the dependence of claim 34 now rests with claim 1.

Applicant therefore requests the reconsideration and withdrawal of the objection of claim 33.

Claim Rejections – 35 USC § 112

Claims 1-13, 15-19, 23, 33-34, and 45 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

Applicant respectfully submits that the claimed aspect of “constructing a financial product based on said selected and displayed information types, and said displayed relationship between said first and second corporate entity information types and the strength of the relationship” sufficiently points out and distinctly claims the subject

matter which Applicant regards as the invention. Applicant disagrees with the Office Action's statement that this claimed aspect renders the claims indefinite under 35 USC 112, second paragraph.

Applicant submits that while it is true claim 1 relates to "selecting a first and second information type", "displaying the information types", and "providing an alteration mechanism", the further claimed aspect of "constructing a financial product based on said selected and displayed information types, and said displayed relationship between said first and second corporate entity information types and the strength of the relationship" is consistent with the foregoing claimed aspects since the construction of the financial product is based on the selected information types and the relationships therebetween, as displayed in a graphical user interface. As made clear by the Specification, including the Abstract and paragraphs [0076] – [0077], financial products (and financial instruments) may be constructed based on the selected information types and relationships between the information types. For example, groups of stocks (based on their relationship in a particular sector) may be constructed, a financial index (based on weighted revenue exposure between related stocks of company A and company B) may be constructed, as well as mutual funds including related securities may also be constructed.

Therefore, Applicant respectfully submits that claim 1 and the other pending claims depending therefrom are not indefinite under 35 USC 112, second paragraph since claim 1 clearly recites constructing a financial product and the legitimate and valid basis on which the financial product is to be constructed. Additionally, the definiteness of the claims is commensurate with and supported by the Specification.

Accordingly, Applicant respectfully requests the reconsideration and withdrawal of the rejection of the claims under 35 USC 112, second paragraph.

Claim Rejections – 35 USC § 103

Claims 1 – 13, 15 – 19, 23, 33 – 34, and 45 were rejected under 35 U.S.C. 103(a) as being unpatentable over U.S. Patent No. 6,721,713 B1 to Guheen et al. (further referred to as Guheen), in view of U.S. Publication No. 2002/0158918 A1 to Feibush et al. (further referred to as Feibush), and further in view of U.S. Patent No. 6,317,726 B1 to O'Shaughnessy (further referred to as O'Shaughnessy). This rejection is traversed.

Applicant notes that independent claim 1 is amended by virtue of the claim amendments submitted herewith to recite a method including selecting a first corporate entity information type that defines a first corporate entity; selecting a second corporate entity information type that defines a second corporate entity; selecting a corporate entity relationship information type that defines a relationship between the first and second corporate entity information types; and displaying the information types in a graphical user interface view with predetermined indicia, the indicia graphically providing an indication of a connection between the first and second corporate entity information types and a strength of the relationship; providing an alteration mechanism to dynamically change an information type, chosen from the group comprising corporate entity, corporate entity relationship, selection, grouping, arrangement and view type to be displayed in the graphical user interface view. The method further includes dynamically changing, using said alteration mechanism, a displayed information type to a newly chosen information type; displaying said newly chosen information type associated with said first corporate entity information type and said second corporate entity information type, each in separate display panels in the graphical user interface to facilitate a comparison. The method also includes an operation of constructing a financial product based on the selected and displayed information types.

Thus, it is clear that the claimed method includes dynamically changing, using said alteration mechanism, a displayed information type to a newly chosen information

type; and displaying said newly chosen information type associated with said first corporate entity information type and said second corporate entity information type, each in separate display panels in the graphical user interface to facilitate a comparison, as disclosed in the Specification at paragraphs [0046] and [0047]. Additionally, a financial product is constructed based on such selected and displayed information types.

Applicant respectfully submits that the claimed aspects of dynamically changing, using said alteration mechanism, a displayed information type to a newly chosen information type; and displaying said newly chosen information type associated with said first corporate entity information type and said second corporate entity information type, each in separate display panels in the graphical user interface to facilitate a comparison are not seen as disclosed or suggested by the combination of cited and relied upon Guheen, Feibush, and O'Shaughnessy references.

Therefore, the reconsideration and withdrawal of the rejection of the subject claims under 35 USC 103(a) are requested, as well as the allowance of same.

C O N C L U S I O N

Accordingly, Applicants respectfully request allowance of the pending claims. If any issues remain, or if the Examiner has any further suggestions for expediting allowance of the present application, the Examiner is kindly invited to contact the undersigned via telephone at (203) 972-5985.

Respectfully submitted,

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